

MD20000001557 REFECO

Refco Securities, LLC
One World Financial Center
200 Liberty Street • Tower A
New York, NY 10281-1094
ph 212 693 7000
www.refco.com

FILED
2002 JUN 17 PM 12:09
DIVISION OF CORPORATIONS
TALLAHASSEE, FLORIDA

VIA FEDERAL EXPRESS

June 3, 2002

Registration Section
Division of Corporations
409 E. Gaines Street
Tallahassee, FL 32399

Re: Refco Securities, LLC
Registration as Foreign LLC

800005677558--0
-06/18/02--01019--015
***7975.00 ***7975.00

Dear Sir or Madam:

Enclosed please find the following documents and fees to register Refco Securities, LLC as a foreign limited liability company to transact business in Florida:

1. Application
2. A duly authorized original certificate of existence, dated May 30, 2002, issued by the Delaware Secretary of State
3. Certificate of Designation of Registered Agent/Registered Office
4. Check in the amount of \$150.00 for Application Fee and Certified Copy Fee

Kindly forward the certified copy to me at the address indicated above. Should you have any questions, I may be reached at (212) 693-3925.

Very truly yours,


Stephen J. Keating

800005677558--0
-06/04/02--01055--004
****150.00 ****150.00

W02-16566

J. BRYAN JUN - 7 2002

J. BRYAN JUN 18 2002



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TALLAHASSEE, FLORIDA

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June 13, 2002

Registration Section
Division of Corporations
409 E. Gaines Street
Tallahassee, FL 32399
Attn: Joey Bryan

RE: W02000016566

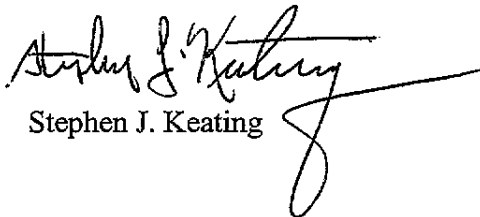
Dear Mr. or Ms. Bryan:

Further to our application for registration as a foreign LLC, enclosed please find our check in the amount of \$7,975.00 representing penalty fees in the amount of \$7,970.00 and \$5.00 in additional application fees.

I would very much appreciate a call when Refco is registered as a foreign LLC, and may be reached at (212) 693-3925.

Thank you for your continued assistance.

Very truly yours,


Stephen J. Keating



FLORIDA DEPARTMENT OF STATE

Katherine Harris
Secretary of State

June 7, 2002

STEPHEN J. KEATING
REFCO SECURITIES, LLC
200 LIBERTY STREET, TOWER A
NEW YORK, NY 10281-1094

SUBJECT: REFCO SECURITIES, LLC
Ref. Number: W02000016566

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TALLAHASSEE, FLORIDA

We have received your document for REFCO SECURITIES, LLC and your check(s) totaling \$150.00. However, the document has not been filed and is being retained in this office for the following:

Pursuant to section 607.1502(4), 617.1502(4) or 608.502(4), Florida Statutes, this office collects a civil penalty of \$1000 for each year this entity transacted business or conducted its affairs in Florida prior to qualification and the appropriate annual report/uniform business report fees that would have been due this office had the entity qualified the year it began operations in this state. The amount due this office to cover both annual report/uniform business report and penalty fees is \$7,970.00.

Enclosed please find a copy of section 607.1501, 617.1501, or 608.502, Florida Statutes, which lists those activities that do not constitute transacting business in this state. If after reviewing this section you determine erroneous information was inserted on the application, a notarized affidavit containing the following information must be submitted: 1.) a statement indicating erroneous information was listed on the application; and 2.) the correct date the corporation began transacting business in Florida prior to the year the application was submitted did not constitute transacting business pursuant to section 607.1501, 617.1501 or 608.502, Florida Statutes.

Also need \$5.00 more for a certified copy.

If you have any questions concerning the filing of your document, please call (850) 245-6043.

Joey Bryan
Document Specialist

Letter Number: 402A00037725

APPLICATION BY FOREIGN LIMITED LIABILITY COMPANY FOR AUTHORIZATION TO
TRANSACTION BUSINESS IN FLORIDA

IN COMPLIANCE WITH SECTION 608.503, FLORIDA STATUTES, THE FOLLOWING IS SUBMITTED TO REGISTER A FOREIGN
LIMITED LIABILITY COMPANY TO TRANSACTION BUSINESS IN THE STATE OF FLORIDA:

1. REFCO SECURITIES, LLC
(Name of foreign limited liability company)
2. DELAWARE
(Jurisdiction under the law of which foreign limited liability company is organized)
3. 52-2169037
(FEI number, if applicable)
4. MAY 13 1999
(Date of Organization)
5. PERPETUAL
(Duration: Year limited liability company will cease to exist or "perpetual")
6. MAY 1995
(Date first transacted business in Florida. (See sections 608.501, 608.502, and 817.155, F.S.))
7. 777 BRICKELL AVE, STE. 1010
MIAMI, FL 33131
(Street address of principal office)

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8. If limited liability company is a manager-managed company, check here ☒

9. The name and usual business addresses of the managing members or managers are as follows:

Philip Bennett, REFCO SECURITIES, LLC
200 LIBERTY ST. NEW YORK, NY 10281

10. Attached is an original certificate of existence, no more than 90 days old, duly authenticated by the official having custody of records in the jurisdiction under the law of which it is organized. (A photocopy is not acceptable. If the certificate is in a foreign language, a translation of the certificate under oath of the translator must be submitted.)

11. Nature of business or purposes to be conducted or promoted in Florida: BROKER-DEALER

Stephen J. Keating
Signature of a member or an authorized representative of a member.
(In accordance with section 608.408(3), F.S., the execution of this document constitutes an affirmation under the penalties of perjury that the facts stated herein are true.)
STEPHEN J. KEATING
Typed or printed name of signee

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**CERTIFICATE OF DESIGNATION OF
REGISTERED AGENT/REGISTERED OFFICE**

PURSUANT TO THE PROVISIONS OF SECTION 608.415 or 608.507, FLORIDA STATUTES,
THE UNDERSIGNED LIMITED LIABILITY COMPANY SUBMITS THE FOLLOWING
STATEMENT TO DESIGNATE A REGISTERED OFFICE AND REGISTERED AGENT IN THE
STATE OF FLORIDA.

1. The name of the Limited Liability Company is:

REFCO SECURITIES, LLC


2. The name and the Florida street address of the registered agent and office are:

VICTOR HENRIQUEZ
(Name)

777 BRICKELL AVE STE. 1010
Florida street address (P.O. Box NOT ACCEPTABLE)

MIAMI, FL 33131
(City/State/Zip)

Having been named as registered agent and to accept service of process for the above stated limited liability company at the place designated in this certificate, I hereby accept the appointment as registered agent and agree to act in this capacity. I further agree to comply with the provisions of all statutes relating to the proper and complete performance of my duties, and I am familiar with and accept the obligations of my position as registered agent as provided for in Chapter 608, F.S.


(Signature)

\$ 100.00	Filing Fee for Application
\$ 25.00	Designation of Registered Agent
\$ 30.00	Certified Copy (optional)
\$ 5.00	Certificate of Status (optional)

Delaware

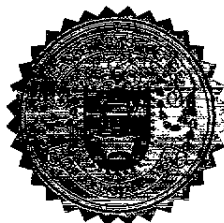
PAGE 1

The First State

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "REFCO SECURITIES, LLC" IS DULY FORMED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE THIRTIETH DAY OF MAY, A.D. 2002.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL TAXES HAVE BEEN PAID TO DATE.

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TALLAHASSEE, FLORIDA



Harriet Smith Windsor
Harriet Smith Windsor, Secretary of State

2990392 8300

AUTHENTICATION: 1804721

020346161

DATE: 05-30-02